

**DEPARTMENT OF THE TREASURY
FEDERAL LAW ENFORCEMENT TRAINING CENTER
GLYNCO, GEORGIA 31524**

FLETC DIRECTIVE (FD)

NUMBER: 64-51

Subject:

DATE: 01/29/86

Sunset Review:

INCENTIVE AWARDS PROGRAM AMENDMENT

1. PURPOSE. To amend Attachments 4 and 5 to FLETC Directive No. 64-51, Incentive Awards Program, to reflect the criteria changes for Quality Step Increases and types of awards for Career Service Awards.

2. ACTION.

<u>REMOVE</u>	<u>DATED</u>	<u>INSERT</u>	<u>DATED</u>
Attachment 4	07-10-85	Attachment 4	01-29-86
Attachment 5	07-10-85	Attachment 5	01-29-86

/s/

Charles F. Rinkevich
Director

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Subject:
INCENTIVE AWARDS PROGRAM

DATE: 07-10-85

1. PURPOSE. This directive provides the policy, responsibility and procedures for administering the Incentive Award Program at the Federal Law Enforcement Training Center.
2. SCOPE. The provisions of this directive apply to all organizational elements of the Center.
3. CANCELLATION. FLETC Directive No. 64-51, Incentive Awards Program, dated July 26, 1979, and Amendment 1 dated July 2, 1980.
4. REFERENCES.
 - a. Treasury Personnel Management Manual, Chapter 451
 - b. Feral Personnel Manual, Chapter 451
5. POLICY. It is the policy of the Federal Law Enforcement Training Center to encourage employees to take an active part in improving Center operations; to reward employees whose individual or group efforts contribute to efficiency, economy or increased productivity; and to provide recognition to employees for achievements of a significant nature relating to their official employment. To this end, the Incentive Awards Program is designed to:
 - a. Encourage employees at all levels to participate in the program, as all share responsibility for the quality of the Center's operation.
 - b. Provide management at all levels the means of motivating employees to make full use of their skills and ideas.
 - c. Stress "motivation" and "innovation" in carrying out the Center's objectives and the Incentive Awards Program.
 - d. Recognize those persons who contribute to the Center through superior efforts in extending equal opportunities to current employees and those seeking Federal employment or by assisting those already with the Federal service to achieve

their highest potential and productivity. Recognition to deserving supervisors, employees, or groups is required and merited when there are clear and demonstrated significant achievements in providing equal employment opportunity.

e. Ensure prompt review of all contributions, and when a delay is unavoidable because of the nature of the contribution, establish procedures to follow up on the action.

Recognition under the Incentive Awards Program at the Center may be made for contributions resulting in tangible or intangible benefits. Cash awards may be in the form of a one-time cash award, or a quality pay increase. Non-cash or honorary awards may be in the form of a certificate, emblem or pin.

6. AUTHORITY. The Director of the Federal Law Enforcement Training Center is authorized to:

a. Approve and pay awards up to, and including, \$10,000 to any one individual or group.

b. Make recommendations on awards which require the approval of, or action by, the Secretary of the Treasury or his designee (i.e., over \$10,000 to any individual or group, Exceptional Service Award, Meritorious Service Award, external awards, SES Presidential ranks, etc.).

c. Redesignate authority to administer the program and redesignate authority to take action on and make cash awards up to, and including, \$10,000.

7. CONTRIBUTIONS WARRANTING RECOGNITION. The following types of contributions by employees warrant recognition under the Incentive Awards Program:

a. A suggestion which may be adopted;

b. A special achievement (this includes sustained superior performance or a special act or service);

c. An idea, method or device usable by the Center;

d. Noteworthy or distinctive services;

e. Long and faithful service; and

f. Noteworthy contributions in promoting the accomplishment of Equal Employment Opportunity objectives.

8. RESPONSIBILITIES.

a. The responsibility for administration of the Incentive Awards Program has been delegated to the Personnel Officer. An Incentive Awards Officer appointed by the Personnel Officer provides assistance and advice on the development, promotion and administration (including evaluation and reporting) of the Center's Incentive Awards Program. The Personnel Division shall publish information to inform employees of the basic principles of the Incentive Award Program under which the Center's Incentive Awards Program operates.

b. The Deputy Director has been delegated the authority to approve recommended awards of less than \$10,000.

c. The Assistant Director (Administration) will certify that funds are available for payment of awards.

d. In order to ensure continuing success of the program, each supervisor will:

(1) Ensure that all aspects of the program are known and understood by all and that subordinates are informed of the opportunities it offers for personal and group recognition.

(2) Motivate subordinates to submit suggestions for improving operations and assist them in developing or perfecting their ideas, when appropriate. Accept their suggestions as an indication of interest in helping to make improvements or reduce expenses and, as a measure of confidence in their supervisor's objectivity.

(3) Review operations and evaluate results for the purpose of identifying employees whose individual or group efforts result in superior achievement and initiating recommendation and appropriate awards.

(4) Make timely and objective appraisals of suggestions received and adopt/recommend adoption of those which will prove beneficial. Evaluate suggestions for their applicability to other Center activities. Give adequate recognition to award recipients when selecting or recommending employees for promotion.

e. Employees should strive to keep informed of the program and of the potential benefits to the Center and themselves from active participation. Every employee should endeavor to make a contribution or contributions to any phase of the

Center or other Government operations of such significance as to warrant recognition under the Incentive Awards Program.

9. PROCEDURES. Attachments 1 through 7 describe the types of awards that will most commonly be used at the Center, the procedures to be followed for each type of award, and provide guidance in determining the amount of the award.

10. OFFICE OF PRIMARY RESPONSIBILITY. Personnel Division, Office of Administration.

Charles F. Rinkevich
Director

Attachments (7) (Forms to accompany attachment are available from PER)

- Suggestion Program
- Special Achievement Awards
- Determining Award Amounts
- Quality Step Increase
- Career Service Awards
- Certification of Appreciation
- Honor Awards

SUGGESTION PROGRAM

To be considered as a suggestion, the contribution must be a constructive proposal, submitted in writing by one or more employees, that directly contributes to economy, or efficiency, or directly increases effectiveness in carrying out Center programs or missions.

The following are excluded for consideration as suggestions under the Incentive Awards Program:

1. Complaints, grievances or other proposals which do not include a constructive and specific means for improving operations of the Federal Law Enforcement Training Center.
2. Proposals to correct typographical errors in printing.
3. Proposals which call attention to the need for routine maintenance and repair work.
4. Proposals to improve working conditions, e.g., air conditioning, decorations, furniture, or mirrors.
5. Proposals which call for routine or normal safety practices.
6. Proposals calling for enforcement of existing rules.
7. Proposals where it is obvious that the potential benefits from adoption would not offset the cost of processing.
8. Proposals for services and benefits to employees, e.g., vending machines, cafeteria services, restroom facilities, parking facilities, or holidays.

Employee proposals which are excluded from the program should receive any attention that is desirable or necessary through regular administrative channels or as an employee relations matter. An idea which is not new or original or which is excluded from the program and is accepted for use by the Center may be recommended for a Special Achievement Award if the benefits are so significant as to warrant an award. However, there must be a positive relationship between the suggestion and the action suggestion and the action taken before recognition can be given under the program.

The methods for submitting and processing employee suggestions are listed below:

1. Submitting a Suggestion.

a. Suggestions must be submitted in writing on Form TDF 64-51.1, Employee Suggestion. (These forms are available from the Personnel Division.)

b. Employees are encouraged to discuss the suggestion with their supervisors to obtain assistance or advice in perfecting the idea. Once the form has been completed and signed, it must be submitted to the Incentive Awards Officer.

2. Processing of Suggestions.

a. The Incentive Awards Officer will acknowledge receipt of the suggestion within five (5) working days. The suggestion will then be forwarded to the appropriate office that would have authority and responsibility for the subject matter involved.

b. The organizational element receiving the suggestion will be given thirty (30) days to objectively review and evaluate the suggestion. If the reviewing office does not recommend adoption, specific reasons must be given as to why it cannot be adopted. If adoption is recommended, specifics must be stated regarding the tangible or intangible benefits that would result during the first year, when the suggestion will be put into effect, and the recommended amount of the award to be paid the suggestor. This should be based on the award scale shown for tangible and intangible benefits (Attachments 2 & 3). The appropriate official must review the decision and sign it before forwarding to the Incentive Awards Officer.

c. The Incentive Awards Officer will evaluate the recommendation and determine the appropriate course of action. If the suggestion is to be adopted, it will be sent through the Personnel Officer to the Deputy Director for final approval. If a cash award is approved, the Incentive Awards Officer will coordinate processing of the award with Financial Operations Division after the Assistant Director (Administration) has verified that funds are available for payment of the award. A Certificate will be prepared for the Director's signature on all adopted suggestions.

d. If a suggestion cannot be adopted, the employee will be advised in writing, giving specific and justifiable reasons for non-acceptance. A suggestor may file an appeal on a non-adopted suggestion within one (1) year from the date of rejection. Appeals by individual employees must be submitted in the same way that the

suggestion was submitted. The Incentive Awards Officer will route the appeal through the deciding officials. The final decision on the appeal will be made by the Director.

e. If management takes an action within two (2) years following the rejection of a suggestion, the case may be reopened. If there is any relationship between the suggestion and the ultimate action, an appropriate award will be made.

SPECIAL ACHIEVEMENT AWARD

A Special Achievement Award may be granted for:

1. superior performance of duties and responsibilities of the employee's assigned position, sustained over a significant period; or
2. Performance which has exceeded job requirements as a one-time occurrence.

The granting of Sustained Superior Performance (SSP) awards is reserved for non-Merit Pay employees and requires linkage with performance appraisal evaluations. Normally, this type of award is recommended at the time the annual performance appraisal is submitted to the Personnel Division. If the circumstances warrant an exception to this time frame, and the most recent appraisal is more than 60 days old, there must be a supplemental written statement setting forth the reasons for granting the SSP. Nominations for SSP awards are reserved for those employees rated "Excellent" or "Outstanding."

The granting of an award for a special act or service which has exceeded job requirements may be given to employees (Merit and non-Merit) anytime during the year; however, the recommendations must be submitted within six (6) months following the contribution for which recognition is being recommended. The award must be for performance in the public interest and connected with or related to official employment. Each recommendation must be submitted on Form TD F 64-51.2 (from Personnel Division) and must contain specific details, relevant statistics and explicit examples documenting how the employee's performance exceeded the standards for the position or the benefits derived from the act or service. Award recommendations must:

1. Be accurate. Quote exact figures whenever possible. Give precise information rather than merely using superlatives or citing generalities;
2. Be objective. Describe the merits of the employee's performance rather than personality traits; and
3. Whenever possible, state savings or identify benefits derived by the Center from the nominee's contribution.

Failure to adequately justify recommendations will result in their return to the submitting official. All recommended awards must be reviewed by the submitting official's immediate supervisor before being sent to the Personnel Division. The

Incentive Awards Officer will obtain any further required reviews, the signature of the Deputy Director as approving official, and coordinate processing of the award with the Financial Operations Division, after the Assistant Director (Administration) has verified that funds are available for payment of the award. A certificate signed by the Director will be presented with the check. The submitting official will coordinate the award presentation ceremony if the award is not presented during the annual awards ceremony.

DETERMINING AWARD AMOUNTS

Sustained Superior Performance (SSP).

A recommendation for a cash award for sustained superior performance is based on the employee's appraisal and cannot exceed the percentage of the rate of basic pay stated below. An honor award may be granted instead of a cash award if it better serves the purpose of matching the award to both the contribution and the employee. The maximum percentages payable for SSP Awards will be as follows:

a. If the non-merit pay employees's most recent Performance Appraisal shows that performance of all critical and non-critical elements exceeds the "Satisfactory" level and, in terms of the annual rating, the employee was awarded an overall "Excellent" rating, the award amount can be up to 6% of base pay, but may not exceed a cap of \$2,000.

b. If the non-merit pay employees most recent Performance Appraisal shows that performance of all critical and non-critical elements exceeds the "Satisfactory" level and , in terms of the annual rating, the employee was awarded an overall "Excellent" rating, the award amount can be up to 3% of base pay, but may not exceed a cap of \$1,000.

Special Act or Service.

A recommendation for a cash award for a special act or service is based on a one-time occurrence and is not bases on an annual performance rating. The amount of the award will be determined by using the appropriate tables listed under suggestions and/or inventions and will be based on either tangible or intangible benefits derived by the Government.

When the award is for a group, all members of the group may share equally or the total may be divided in proportion to the individual contributions to the group effort. However, the total amount of the award may not exceed to amount authorized for that type of contribution if it were being awarded to an individual.

An honor award may be granted in addition to, or instead of, a cash award, if it better serves the purpose of matching the award to both the contribution and the employee.

Suggestion and/or Invention.

The following three tables are provided as guidance in determining the amount of a cash award to be granted for an employee's suggestion and/or invention that benefits the Center.

TABLE 1. Awards for contributions with tangible benefits.

ESTIMATED FIRST YEAR BENEFITS TO GOVERNMENT	AMOUNT OF AWARD
Up to \$10,000	10% of Benefits
\$10,000 to \$100,000	\$1,000 for the first \$10,000, plus 3% of benefits over \$10,000. (See Table 2 for a quick guide for calculations of awards based on tangible benefits.)
\$1000,000 or more	\$3,700 for the first \$100,000, plus 0.5% of benefits over \$1000,000

Tables 2 & 3 are available from the Personnel Division.

QUALITY STEP INCREASE

Only employees under the General Schedule (GS) are eligible for a Quality Step Increase (QSI). All recommendations for QSI will be made on Form TD F 64-51.2, Recommendation for Performance Recognition (Exhibit 2) and must show a linkage with the employee's annual performance appraisal evaluation.

To be considered for a QSI, an employee must perform his or her assigned duties at such a high quality level as to warrant a summary performance rating of "Outstanding". Ratings on all individual critical elements must be at the "Outstanding" level and the employee must have sustained the high quality performance for a period of time sufficient to demonstrate that such performance is characteristic and can be expected to continue. A QSI may not be granted to an employee who has received a QSI within the preceding fifty-two consecutive calendar weeks; is in step 10 of their pay range; or to an employee who is not expected to remain in the same position or a similar position at the same grade level for at least sixty days from the date the QSI becomes effective.

All Recommendations for QSI will be sent to the Personnel Division. The Incentive Awards Officer will ensure routing through the Personnel Officer to the Deputy Director for final approval. If the recommendation is approved, the Incentive Award Officer will coordinate processing of the award after the Assistant Director (Administration) has verified that funds are available for payment of the QSI. A certificate signed by the Director will be presented to all recipients of a Quality Step Increase.

CAREER SERVICE AWARDS

Length of service awards are granted by the Center to recognize employees who have completed ten, twenty, thirty, forty, and fifty years of Federal service. These awards are in the form of certificates and/or pins. The length-of-service award is based on the individual's service computation date and presentations will be made at the Annual Award Ceremony. The cutoff date for determining a length-of service award will be the last day the month preceding the awards ceremony.

The Albert Gallatin Award is a certificate and biographical sketch of Albert Gallatin, which is conferred by the Secretary of the Treasury upon the retirement or death of employees who have twenty or more years of service with the Department of the Treasury and whose records reflect fidelity to duty. Recommendations for the Albert Gallatin award must be submitted to Treasury in the form of a memorandum from the Director, not later than thirty days prior to the retirement date. This memorandum must be submitted to the Personnel Officer in time to allow for processing and must contain the employee's full name, number of years of service in the Department of the Treasury, the date of retirement and certification that there is no record of disciplinary (or unsatisfactory/unacceptable performance) action. The Personnel Division will coordinate the recommendation for the award with the Secretary, Department of the Treasury.

CERTIFICATES OF APPRECIATION

Center Certificates of Appreciation may be presented to permanent and detailed employees who transfer, retire or resign from the Center and meet the established criteria. They may also be presented to persons other than staff members for a contribution to improving the efficiency and operation of the Center.

The types of certificates and criteria for eligibility of each is described below:

1. Certificate of Appreciation.

a. Large version (11" X 14") - This certificate is intended for presentation to permanent employees or instructors detailed to the Center staff and who are transferring, retiring or resigning after a minimum of two years as permanent or detailed staff members and may also be presented to detailed staff members and may also be presented to Agency Representatives who are being reassigned after at least two years at the Center. In addition, this certificate may be presented to officials of the Department of the Treasury and other agencies who have made significant contributions to the Center's objectives.

b. Small version (8 1/2" X 11") - This certificate is intended for presentation to Center employees or detailed instructors who are transferring, retiring or resigning after serving more than 120 days, but less than two years, as a permanent or detailed staff member. It may also be presented to enrichment speakers, student interns, or to agency representatives being reassigned before serving two years at the Center.

2. Responsibilities and Procedures.

a. The immediate supervisor of a permanent or detailed staff member being considered to receive a Certificate of Appreciation is responsible for determining if the employee has served satisfactorily and is deserving of a certificate.

In all cases, the supervisor is responsible for initiating the nomination, through normal chain of command channels to the appropriate Assistant Director. The nomination must include justification for the award of the certificate and the suggested wording for personalizing the certificate. If the Assistant Director concurs, the nomination will be forwarded through the Deputy Director to the Director.

The memorandum of nomination must be submitted with sufficient processing time allowed for interim reviews/concurrences and arrival in the Director's office no

later than ten (10) working days before the certificate is to be awarded. When approved, the Director's office will forward the request to the Public Affairs Office (PAO). The PAO will:

- (1) notify the Assistant Director of the approval. The Assistant Director will relay the status to the requestor, through regular supervisory channels;
- (2) request preparation of the certificate by Media Production Branch;
- (3) obtain the Director's signature on the completed certificate;
- (4) affix seal and ribbon, date the certificate after it has been signed; (unless the nomination memorandum has requested a specific date, the date the certificate is signed will be used);
- (5) notify requestor that certificate is ready for presentation.

The requestor is responsible for picking up the signed certificate from PAO, framing (if appropriate), and arranging a date for the presentation. Publicity and photography in connection with the presentation are to be arranged by the requestor through PAO.

Requests for a certificate which are intended to be mailed to the recipient should also include a proposed letter of transmittal for the Director's signature (with the separator sheet from the 5520) and the necessary packaging and mailing material. The Director's office will send a final copy of the transmittal letter to the requestor after mailing.

b. Certificates for persons other than a permanent or detailed staff member may be suggested by any Center employee, but the written nomination is to be initiated by a Manager/Supervisor. This nomination is to be submitted through normal chain of command channels to the Office of the Director and is subject to the same guidelines described in 2 a above.

3. Authority. Only the Director or his designee has the authority to approve the awarding of a certificate.

HONOR AWARDS

Honor Awards are designed to bestow singular honor on selected individuals or groups of employees as an official recognition of achievement and as an incentive to further accomplishment. The Director may nominate an individual employee or a group of employees for the following awards:

Meritorious Service Award (granted one time only to an individual);

Exceptional Service award;

Distinguished Service Award;

Annual Award of Distinction in Administration;

Annual Award of Excellence in Administrative Initiative;

Equal Employment Opportunity Award of the Year;

Outstanding Handicapped Business Utilization Achievement Award; and

Small & Disadvantage Business Utilization Achievement Award.

Procedures are contained in Treasury personnel Management Manual Chapter 451.